



California State Controller Betty T. Yee Unclaimed Property Division

Four Steps to Completing the Holder Notice Report

The Holder Notice Report is the first in California's two-report process, due annually before November 1 (before May 1 for life insurance companies). This report tells the State Controller how much reportable property is being held but does not include the remittance of funds. Follow the steps below to submit a Holder Notice Report.

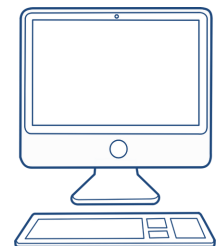
1. Review list of unclaimed properties



- Before submitting the Holder Notice Report, send due diligence notices to owners of properties valued \$50 or more, safekeeping properties, and securities.
- Do not include properties that are no longer dormant, including those reactivated or reissued due to owner contact during the holder's due diligence period.

2. Create list of property owners

- Use reporting software to create the property owner list in standard *National Association of Unclaimed Property Administrators (NAUPA II)* format when reporting ten or more properties. Visit the [Reporting Resources](#) webpage for a link to [free reporting software](#).
- Burn the list to a disc and submit with the report. Label the disc with the holder name, Federal Employer Identification Number (FEIN), report year, and total properties reported.
- All holders are encouraged to report in electronic format. If reporting nine properties or less, a holder may choose to report on paper by using the *Owner Detail Sheet (UDS-1)*.
- Include the following owner account information:
 - First and last name (or company name, if applicable);
 - Social security number (or tax identification number, if applicable);
 - Last known address;
 - Account number on record;
 - Property type and amount;
 - Starting transaction date (date of last contact); and
 - Committee on Uniform Securities Identification Procedures (CUSIP) number (for securities only).



3. Complete Universal Holder Face Sheet (UFS-1)

- In section A, enter the holder's information. The "Report As of Date" is not the signature date or the report due date. Enter the cut-off date of the reporting cycle, which should either be the holder's year-end date or June 30. Life insurance companies always will enter December 31.
- In section B, enter information for the person(s) responsible for completing the report.
- In section C, enter information for the person(s) responsible for handling property owner inquiries.

- In section F, enter the total dollars and/or shares listed on the property owner list. Check “yes” if safekeeping properties are being reported.
- In section J, include an original wet signature and signing date. Photocopies or signature stamps are not accepted.
- Watch the [UFS-1 Video Tutorial](#) for a detailed walk-through of the UFS-1.

Section B is the person responsible for submitting the report.

Section C is the person responsible for property owner inquiries.

Section F must equal the total amounts reported on the list of property owners.

State of California—Controller's Office UNIVERSAL HOLDER FACE SHEET (must be completed and attached with all reports; failure to do so may result in interest assessment) UFS-1 (Rev. 01/15) Mail to: Office of State Controller Betty T. Yee, Unclaimed Property Division, P.O. Box 942650, Sacramento, CA 94250						Report ID# (Remit Report Only) Required 123456	
Notice Report <input type="checkbox"/> Due Before November 1 or <input type="checkbox"/> Life Insurance Due Before May 1 Or Remit Report <input type="checkbox"/> Due Between June 1 and June 15 or <input type="checkbox"/> Life Insurance Due Between December 1 and December 15 <input type="checkbox"/> Supplemental Notice Report (Properties not included on the Notice Report cannot be listed on the Remit Report and must be reported on a Supplemental Notice Report)							
Section A—Holder Information FEIN 98-7654321 Branch Number 01 Report As of Date 12/31/2016 Check Number / EFT Debit Ref Number (Remit Report Only) 709765432							
Section B—Holder Contact Information Holder Name ABC Business Street Address 123 Main Street P.O. Box Number City Sacramento State CA Zip Code 95814 Country USA Contact Name (For report completion) Jan Smith Title Report Preparer Phone Number 916-854-3210 Extension 10 E-mail Address jsmith@abcbusiness.com							
Section C—Property Owner Contact Information Holder Name ABC Business Street Address 123 Main Street P.O. Box Number City Sacramento State CA Zip Code 95814 Country USA Contact Name Brian Adams Title Client Representative Phone Number 916-854-3210 Extension 11 E-mail Address badams@abcbusiness.com							
Section D—Holder Agent Contact (If Applicable) Agent Name Help-You-Report-Agency Street Address 55 Oak Road P.O. Box Number City Sacramento State CA Zip Code 95816 Country USA Contact Name (For report completion) Joe Walker Title Agent Phone Number 916-456-0123 Extension 10 E-mail Address jwalker@hyragency.com							
Section E—Holder CEO/CFO Name Jessica Knight Title CEO Address 123 Main Street P.O. Box Number City Sacramento State CA Zip Code 95814 Country USA							
Section F—Holder Report Totals Total Reported/Remitted Dollars 25,475.31 Total Reported/Remitted Shares 0 Includes Safe Deposit Box <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No							
*Any Remittance of \$20,000.00 or more must be paid by Electronic Funds Transfer (EFT), pursuant to CCP Section 1532							
Section G—Holder Business Information Organization Type: Corporation Incorporation Date: 03 / 01 / 1998 NAICS Code: 323111 Charter: Federal <input type="checkbox"/> or State <input type="checkbox"/> Charter Date: / /							
Section H—Demutualization Proceeds <input type="checkbox"/> This report includes proceeds from the demutualization of an insurance company Date of Demutualization <input type="checkbox"/> CCP Section 1515.5 (a) <input type="checkbox"/> CCP Section 1515.5 (b) <input type="checkbox"/> CCP Section 1515.5 (c)							
Section I—Transfer Agent (If Applicable) Agent Name Street Address P.O. Box Number City State Zip Code Country							
Section J: Verification Section J - Verification If made by an individual, shall be verified by the individual; if made by a partnership, by a partner; if made by an unincorporated association or private corporation, by an officer; if made by a public corporation, by its chief fiscal officer or other employee authorized by the holder (CCP Section 1530(e)). The undersigned, Jessica Knight, declares, under penalty of perjury, that, to the best of this (her) knowledge and belief, the following sheets contain a full, true, and complete report of unclaimed property which is presumed unclaimed under the provisions of Part 3, Title 10, Chapter 7, Code of Civil Procedure, commencing with Section 1500, and Title 2, California Administrative Code, Sections 1150 et seq. The Undersigned also certifies that all properties not listed on the Remit Report, which were initially included on the Notice Report, were due to contact by the apparent owner, as the property being reacquired or returned to the rightful owner.							
Signature						Title CEO Date 10/30/2017	

“Report As of Date” is the holder’s fiscal year-end (typically June 30 or December 31). Life insurance companies must enter December 31.

Section J must include an original wet signature of an authorized person.

4. Submit one complete package



- Save a copy.
- Mail all components in one package using a secure, trackable method to:
Office of State Controller Betty T. Yee, Unclaimed Property Division
10600 White Rock Road, Suite 141, Rancho Cordova, CA 95670

Outreach & Compliance Unit

(916) 464-6088

UPDHolderOutreach@sco.ca.gov

We're Here to Help!

The Outreach and Compliance Unit provides holder education and resources through one-on-one assistance, webinars, and speaking engagements. Visit the [events page](#) for up-to-date information or contact us for participation in your next event.

www.sco.ca.gov



www.claimit.ca.gov